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# FEE TRANSMITTAL

## for FY 2005

*Effective 10/01/2004. Patent fees are subject to annual revision.*

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$)**500.00**

### Complete if Known

Application Number	09/963,715
Filing Date	September 26, 2001
First Named Inventor	Rabindranath Dutta
Examiner Name	Joseph A. Fischetti
Art Unit	3627
Attorney Docket No.	AUS920010319US1

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: **50-0714/IBM-0013**

Deposit Account Name: **STREETS & STEELE**

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 790	2001 395	Utility filing fee	
1002 350	2002 175	Design filing fee	
1003 550	2003 275	Plant filing fee	
1004 790	2004 395	Reissue filing fee	
1005 160	2006 80	Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>(\$)</b>

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims:  -20\*\* =  X  =   
Independent Claims:  -3\*\* =  X  =   
Multiple Dependent:  =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1202 18	2202 9	Claims in excess of 20	
1201 88	2201 44	Independent claims in excess of 3	
1203 300	2203 150	Multiple dependent claim, if not paid	
1204 88	2204 44	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>			<b>(\$)</b>

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1063 130	Non-English specification	
1812 2,620	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 430	2252 215	Extension for reply within second month	
1253 980	2253 490	Extension for reply within third month	
1254 1,530	2254 765	Extension for reply within fourth month	
1255 2,080	2255 1,040	Extension for reply within fifth month	
1401 340	2401 170	Notice of Appeal	
1402 340	2402 170	Filing a brief in support of an appeal	500.00
1403 300	2403 150	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,370	2453 685	Petition to revive - unintentional	
1501 1,370	2501 685	Utility issue fee (or reissue)	
1602 490	2502 245	Design issue fee	
1603 660	2503 330	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1808 180	1808 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 790	2809 395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 790	2810 395	For each additional invention to be examined (37 CFR 1.129(b))	
1801 790	2801 395	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)**500.00**

### SUBMITTED BY

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Signature		Date	October 12, 2005		

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**OCT 12 2005**

Appeal Brief  
Dkt. No.: AUS920010319US1  
(IBM/0013)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES**

IN RE APPLICATION OF:  
Rabindranath Dutta, *et al.*

**SERIAL NO: 09/963,715**

CONFIRMATION NO.: 9288

FILED: September 26, 2001

**FOR: Method and System for Parent  
Controlled E-Commerce**

**WISCONSIN**

**EXAMINER:** Joseph A. Fischetti

GROUP ART UNIT: 3627

**Via Facsimile: 571-273-8300**

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37 C.F.R. 1.8

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10/12/05      *[Signature]*  
Date                      Signature

# APPEAL BRIEF

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### **APPEAL BRIEF**

Appellant timely filed a Notice of Appeal to this Board on August 11, 2005 appealing the decision of the Examiner in the Final Office Action dated May 11, 2005 for the above captioned application. Appellant hereby submits this Appeal Brief pursuant to 37 C.F.R. 41.37.

#### **(1) REAL PARTY IN INTEREST**

The real party of interest in this action is International Business Machines Corporation, the recorded assignee of the entire right, title and interest in and to the patent application now under appeal before this Board. International Business Machines Corporation is a corporation of the State of New York, having a place of business at Armonk, New York 10504.

#### **(2) RELATED APPEALS AND INTERFERENCES**

There are no other appeals or interferences known to Appellants, Appellants' legal representative, or Assignee that will affect or be directly affected by or have a bearing upon the Board's decision in the pending appeal.

#### **(3) STATUS OF THE CLAIMS**

The status of all claims in the application under appeal is as follows: claims 1-14 and 16-38 are pending in the application. Claims 1-14 and claims 16-25 stand rejected and are under appeal. Claims 15 and 26-38 stand withdrawn from consideration.

#### **(4) STATUS OF AMENDMENTS**

No amendments to the claims were requested subsequent to the Final Office Action dated May 11, 2005 from which this appeal is taken.

#### **(5) SUMMARY OF CLAIMED SUBJECT MATTER**

Appellant identified a need for methods and computer program products to overcome barriers that prevent expanded e-commerce with minors, including enabling a parent to freely

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and conveniently review information describing an e-transaction proposed by a minor and selectively authorizing or rejecting all or part of a minor's proposed electronic transaction. (Specification, p. 4, lines 5-16). "E-commerce" means purchasing goods or services by a purchaser using the internet ("e-purchaser") and typically involves the submission of an e-purchaser's name, credit card number and credit card expiration date in order to complete a transaction using the internet, which is an "e-transaction." (Specification, p. 1, lines 24-29). E-goods and e-services are goods and services that may be marketed, advertised or sold over the internet. *Id.*

The claimed invention includes electronically receiving an e-transaction proposal from a minor. (Specification, p. 12, lines 16-20). The minor may also submit, along with the e-transaction proposal, identification information concerning both the minor and an e-mail address for an authorizing party with authority to execute the minor's proposed e-transaction. (Specification, p. 8, lines 15-20).

The server may then automatically create and electronically transmit a first message to the parent, the message describing the proposed e-transaction and soliciting the parent's authorization of the proposed e-transaction. (Specification, p. 14, lines 12-17). The message may provide details of the minor's proposed e-transaction, showing ratings or reviews by others of the artists, publishers, content or characteristics of the e-goods or e-services. (Specification, p. 15, lines 20-30). The message may further include clickable hyperlinks to other websites where more detailed information about the e-goods or e-services may be obtained. *Id.*

The parent may authorize the entire proposed e-transaction or may selectively cancel objectionable items to authorize only a portion of the proposed e-transaction. (Specification, FIG. 7, states 420, 425 and 465). The e-mail may provide clickable options of the parent's

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selective authorization of only a subset of the discrete e-transactions making up the proposed e-transaction. (Specification, p. 6, lines 12-18). The message to the authorizing party may be made as an e-mail to an address provided by the minor or to an email address previously supplied by the authorizing party and stored in a database. (Specification, p. 14, lines 15-20).

In response to the first message sent to the parent, the server may electronically receive a reply message from the parent authorizing an e-transaction and further providing e-transaction instructions. (Specification, FIG. 7, states 465 and 425). One way of providing authorization is by providing an authorization code that may be compared to the authorization codes unique to certain authorizing parties and stored in a database. (Specification, p. 8, lines 5-10). Supplying a credit card number is another example of how a parent may provide authorization. (Specification, p. 14, lines 25-30). An old credit card number may be used as authorization or a new credit card number or information may be used as authorization or as an instruction to charge the e-transaction to the new number. (Specification, p. 16, lines 1-8). The server can then modify the e-transaction proposal to conform to the instructions received from the parent. (Specification, p. 16, lines 10-16).

After receiving the e-transaction authorization and instructions from the parent, the server may automatically execute the e-transaction instructions by completing the e-transaction and providing purchase confirmation and delivery details to the minor. (Specification, p. 12, lines 25-30). The server may further create and send an electronically transmittable third message notifying the minor of the parent's response to the proposed e-transaction. (Specification, FIG. 6B, states 340 and 345).



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**(6) GROUNDS OF REJECTION TO BE REVIEWED ON APPEAL**

a. Claims 1, 2, 4, 5, 13, 16, 17, 19 and 20 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, *et al.* in view of U.S. Patent No. 5,708,422 issued to Blonder, *et al.*

b. Claims 1, 6-9 and 21-24 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, *et al.* in view of U.S. Patent No. 5,708,422 issued to Blonder, *et al.* and further in view of U.S. Patent No. 6,674,368 issued to Hawkins, *et al.*

c. Claims 1, 10-12, 14, 25 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, *et al.* in view of U.S. Patent No. 5,708,422 issued to Blonder, *et al.* and further in view of U.S. Patent No. 6,742,141 issued to Miller.

d. Claims 1, 3 and 18 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, *et al.* in view of U.S. Patent No. 5,708,422 issued to Blonder, *et al.* and further in view of U.S. Patent No. 6,052,675 issued to Checchio.

**(7) ARGUMENT**

a. Claims 1, 2, 4, 5, 13, 16, 17, 19 and 20 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, *et al.* in view of U.S. Patent No. 5,708,422 issued to Blonder, *et al.*

(1) Review of the cited prior art. Lotvin discloses a method and apparatus for motivating children to devote more time to educational and cultural enrichment by awarding them with points whenever they complete educational tasks. (Lotvin, Abstract). These points can then be redeemed towards the purchase of goods and services offered through the system by its commercial participants. *Id.* Parents purchase the services of the provider by signing up for

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the service and by providing a credit card number to pay for the services on a monthly basis and also to pay for the selections made by the children for goods and services when they cash in their points. (Lotvin, col. 2, lines 24-30). Optionally, the parents may exclude certain categories of goods from being made available to the children when the children cash in their points. (Lotvin, col. 2, lines 39-42 and col. 7, lines 1-5). For example, the parents may indicate that toys of a violent nature are to be precluded. (Lotvin, col. 13, lines 50-51). When the child is ready to cash in his earned points, the system *provides a menu of purchasing choices* consistent with the number of points the child has earned, the spending limit set by the parent and the parental exclusion preferences. (Lotvin, col. 13, lines 45-52). The child makes his selections and the system processes the order. (Lotvin, col. 13, lines 55-67).

Blonder discloses an automated method for alerting a customer that a transaction is being initiated and for authorizing the transaction based upon a confirmation/approval by the customer. (Blonder, Abstract). Blonder discloses that a computer system database may send out an alert message over a two-way pager to a customer concerning a business transaction and that the customer can then approve the transaction by sending back an authorization code to the database. (Blonder, col. 9, lines 11-31). The system disclosed by Blonder is an automated authorization system that provides a database that can both receive the authorization code from the customer and compare the code to a stored authorization code to provide automatic authorization of a transaction. (Blonder, col. 15, lines 10-27). Blonder discloses the problems that result from an inability to quickly and efficiently inform the individual customer that his customer identifier (e.g., credit card, calling card, debit card, PIN, password, etc.) is being used in a transaction for a particular purpose and the inability of the customer to respond thereto in order to confirm or deny its use. (Blonder, col. 2, lines 55). Blonder discloses an automated method to solve this

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problem that includes informing the customer of the pending transaction and authorizing the transaction only in response to a customer confirmation. *Id.*

(2) Applicable law. A claimed invention is unpatentable if the differences between it and the prior art “are such that the subject matter *as a whole* would have been obvious at the time the invention was made to a person having ordinary skill in the art.” 35 U.S.C. 103(a) [emphasis added]. The ultimate determination of whether an invention is or is not obvious is a legal conclusion based on underlying factual inquiries including: (1) the scope and content of the prior art; (2) the level of ordinary skill in the prior art; (3) the differences between the claimed invention and the prior art; and (4) objective evidence of nonobviousness. *Graham v. John Deere Co.*, 383 U.S. 1, 17-18, 148 USPQ 459, 467 (1966). As the Federal Circuit has stated, “Focusing on the obviousness of substitutions and differences instead of on the invention *as a whole* . . . was a legally improper way to simplify the difficult determination of obviousness.” *Hybritech Inc. v. Monoclonal Antibodies, Inc.*, 802 F.2d 1367, 1383 (Fed. Cir. 1986) [emphasis added].

To establish a *prima facie* case of obviousness of a claimed invention, all the claim limitations must be taught or suggested by the prior art. *In re Royka*, 490 F.2d 981, 985 (CCPA 1974). All words in a claim must be considered in judging the patentability of that claim against the prior art. *In re Wilson*, 424 F.2d 1382, 1385 (CCPA 1970).

An additional requirement for providing a *prima facie* case of obviousness is that the Examiner must provide a basis for combining or modifying the cited references. The mere fact that references can be combined or modified does not render the resultant combination obvious unless the prior art also suggests the desirability of the combination. *In re Mills*, 916 F.2d 680 (Fed. Cir. 1990).

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In the case *In re Rouffet*, 149 F.3d 1350 (Fed. Cir. 1998), the Court states:

When a rejection depends on a combination of prior art references, there must be some teaching, suggestion, or motivation to combine the references. Although the suggestion to combine references may flow from the nature of the problem, the suggestion more often comes from the teachings of the pertinent references or from the ordinary knowledge of those skilled in the art that certain references are of special importance in a particular field. Therefore, when determining the patentability of a claimed invention which combines two known elements, the question is whether there is something in the prior art as a whole to suggest the desirability, and thus the obviousness, of making the combination.

*Id.* at 1356 [citations omitted].

In the case *In re Lee*, 277 F.3d 1338 (Fed. Cir. 2002), the Federal Circuit held:

When patentability turns on the question of obviousness, the search for and analysis of the prior art includes *evidence* relevant to the finding of whether there is a teaching, motivation, or suggestion to select and combine the references relied on as evidence of obviousness.

*Id.* at 1343, emphasis added.

The courts have recognized that most inventions are made up of elements that have already been discovered and utilized. It is the specific combination of these elements, however, that define the invention being claimed. For example, in the case *In re Kotzab*, 217 F.3d 1365 (Fed. Cir. 2000), the Court states:

Most, if not all inventions arise from a combination of old elements . . . Thus, every element of a claimed invention may often be found in the prior art. However, identification in the prior art of each individual part claimed is insufficient to defeat patentability of the whole claimed invention. Rather, to establish obviousness based on a combination of the elements disclosed in the prior art, there must be some motivation, suggestion or teaching of the desirability of making the specific combination that was made by the applicant.

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*Id.* at 1395.

(3) The cited prior art fails to teach or suggest all the claim limitations of independent claims 1 and 16. Applicant respectfully asserts that a *prima facie* case of obviousness has not been presented because neither one of the cited references teaches nor suggests that a reply message received from the parent includes *e-transaction instructions*. Applicant claims that the reply message must contain both an (1) authorization and (2) instructions. Furthermore, neither of the cited prior art references teach or suggest electronically receiving an e-transaction proposal from a minor.

Lotvin does not disclose sending any messages to the parent asking for either (1) authorization or (2) instructions concerning a pending e-transaction and therefore, there is no suggestion or teaching that the parent sends a return message. There are *no messages* being sent back by the parent before an e-transaction (*not* an e-transaction proposal) by the minor is executed including messages that (1) authorize the transaction and (2) provide further e-transaction instructions.

It is important to note that there is *no e-transaction proposal* sent by the minor in Lotvin because Lotvin discloses that the method displays a menu of pre-selected and approved purchases that the minor may select from. Therefore, the minor selects the choices and the result is not a "proposal" that must be approved, but is instead, the order of the minor for pre-selected and approved goods.

Furthermore, Lotvin discloses that both the authorization and any constraints to what the minor may purchase are already obtained before the minor makes any choices as to what to buy with the "points" he has earned. Only pre-arranged choices are provided for the minor to choose from. Lotvin discloses that the parent provides all required information when the parent signs

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the child up for the educational services. The parent provides a credit card number when the parent signs the child up for the educational services and provides a set amount that the child is allowed to spend on the prizes when the child cashes in his points. Lotvin further discloses that the parent may exclude certain toys or goods from the mix that is offered to the minor when the minor is ready to "spend" his points.

Blonder discloses sending a message to the parent asking for (1) authorization and receiving an authorization message back from the parent, in the form of a code, but does not teach or suggest that the parent send additional instructions back *with* the parent's authorization. Lotvin clearly points out that what is disclosed therein is an automatic *authorization* method; indeed, its title is Transaction Authorization and Alert System. (Blonder, Title) Blonder does not suggest or teach that this system may be expanded to receive *e-transaction instructions* in the authorization message received from the parent. Furthermore, the transaction request is not sent electronically *by the minor*, as claimed by Appellant, but is instead sent by the *retailer* in response to the minor attempting to purchase goods in the retail establishment.

Because neither of the cited prior art references suggest or teach that a response message from a parent include *both* a transaction authorization *and* an e-transaction instruction, and because neither of the cited prior art references suggest or teach that a server electronically receives (1) an e-transaction *proposal* (2) from a minor, a *prima facie* case of obviousness has not been presented. Appellant therefore respectfully requests that the Board find independent claims 1 and 16 presented on appeal to be patentable as well as, therefore, all other claims presented on appeal that depend therefrom.

(4) The cited prior art fails to teach or suggest all the claim limitations of claims 2 and 17. Applicant respectfully asserts that a *prima facie* case of obviousness has not been presented

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because neither one of the cited references teaches nor suggests a server creating and sending an electronically transmittable third message notifying the minor of the parent's response to the proposed e-transaction.

The Examiner cites Blonder as suggesting or teaching this limitation as Blonder discloses that an authorization from the transaction processing center to the retailer, where the minor is waiting for the goods to be purchased, may be the third message if the retailer relays the message to the child. (Final Office Action, p. 3). However, such is not what Appellant claims.

Blonder discloses that what is sent back to the retailer is an *authorization code* that identifies the transaction and can thereby be used to verify that the authorization process was properly adhered to by the retailer. (Blonder, col. 12, lines 15-25). Typical reasons for denial include that the balance on the customer's account has exceeded its credit limit or that the customer has not responded to the request for authorization. *Id.*

Blonder does not disclose that the parent's response is sent electronically as a third message notifying the minor of the parent's response. At best, relaying the message to the child by the retailer would be a *fourth* message from the retailer to the minor and such message would not be sent electronically but would be spoken to the child. As Appellant pointed out above, neither of the prior art references teach or suggest that a server electronically receives an e-transaction proposal from a minor and here, neither prior art reference teaches or suggests the limitations of claims 2 and 17 - that the server creates and sends a third message notifying the minor of the parent's response to the proposed e-transaction. The third message cited by the Examiner only informs the retailer that the credit card issuer has approved the transaction - not the minor.

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Blonder does not disclose that the retailer even knows that the parents have or have not been contacted. Therefore, at best, Blonder discloses that the retailer can tell the minor that the transaction was or was not approved by the credit card company, but the retailer cannot tell the minor (1) that the parents were contacted or (2) that the parents did or did not approve the transaction. Such information is simply not provided in the authorization code provided to the retailer by the credit card issuer.

Because neither of the cited prior art references suggest or teach that the server creates and sends an electronically transmittable third message notifying the minor of the parent's response, a *prima facie* case of obviousness has not been presented. Appellant therefore respectfully requests that the Board find claims 2 and 17 presented on appeal to be patentable.

(5) No evidence has been provided for a teaching, motivation or suggestion to select and combine the cited references. Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented because there has been no evidence provided relevant to the finding of whether there is a teaching, motivation or suggestion to select and combine the references. The Examiner has stated that it would be obvious to modify the method of Lotvin to include the Blonder process because this would provide a more flexible method in that a case by case approval can be taken of products purchased as opposed to the more rigid pre-selection of certain products by Lotvin. (Final Office Action, p. 3).

As the *Roffet* Court has taught, "Although the suggestion to combine references may flow from the nature of the problem, the suggestion more often comes from the teachings of the pertinent references or from the ordinary knowledge of those skilled in the art that certain references are of special importance in a particular field." *In re Rouffet*, 149 F.3d at 1356.



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Appellant respectfully asserts that there is no motivation to combine the cited references. First, addressing the first *Rouffet* prong, there is no evidence that the nature of the problem to be solved provides any evidence of a motivation to combine these references. Each of the references attempts to solve a different problem. Blonder addresses the problem of credit card fraud and provides a method for automatically obtaining authorization for a credit card transaction. Lotvin attempts to solve the problem of how to increase the educational and cultural level of children. Neither reference suggests or teaches a solution to the problem of how to allow minors to fully but safely participate in e-commerce transactions, which is the problem sought to be solved by Applicant.

Addressing the second *Rouffet* prong, there is no suggestion from the cited prior art that the references should be combined. Neither of the prior art references address the subject of minors using the internet to buy goods and services. Blonder only discloses minors using "brick and mortar" stores, where their status as a minor is determined only from sight by the retailer and the system seeking authorization does not know whether a minor or an adult is seeking to purchase goods or services. Lotvin only discloses purchases being made on the website of the educational services provider with earned "points" from "appropriate menus presented to the child offering goods and services that may be optionally based on the parent's preferences." (Lotvin, col. 7, lines 1-3). Therefore, there is no suggestion from the prior art that the reference should be combined.

The third *Rouffet* prong provides that the motivation to combine references may come from the ordinary knowledge of those skilled in the art that certain references are of special importance in a particular field. Certainly there has been no evidence provided showing that the cited prior art references are of special importance in a particular field.

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Therefore, because there has been no evidence presented showing the motivation to combine the cited references, Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented. Appellant therefore requests that the Board find the claims presented on appeal to be patentable.

b. Claims 1, 6-9 and 21-24 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, et al. in view of U.S. Patent No. 5,708,422 issued to Blonder, et al and further in view of U.S. Patent No. 6,674,368 issued to Hawkins, et al.

(1) Review of the cited prior art. Hawkins discloses methods and apparatus for tracking the location of assets and persons. (Hawkins, Abstract). Position information is provided to a central monitoring station aperiodically. *Id.* Hawkins discloses the need to provide improved methods and apparatus for tracking criminals and goods in transit. (Hawkins, columns 1 and 2). Alerts may be sent out by email, pop-ups, facsimile message and pagers depending upon the level of alert required. (Hawkins, col. 12, lines 12-31). Contact addresses and types of notifications for given alerts may be determined by the authorized user. *Id.* The authorized user is the person receiving the alerts. (Hawkins, col. 23, lines 53-54). A high level alert may be triggered by the movement of a criminal offender and a low level alert may be assigned for a violation associated with a child leaving a school yard. (Hawkins, col. 16, lines 57-67).

(2) The cited prior art fails to teach or suggest all the claim limitations of claims 6-9 and 21-24. Applicant respectfully asserts that a *prima facie* case of obviousness has not been presented because none of the three cited references teaches nor suggests sending an email to a

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parent that describes the e-transaction proposal and solicits the parent to authorize an e-transaction that comprises at least a part of the e-transaction proposal.

The Examiner admits that neither Lotvin nor Blonder teach or suggest the limitations of claims 6-9 and 21-24 and therefore, the Examiner cites Hawkins for those limitations. (Final Office Action, p. 4). However, Hawkins merely discloses that an email may be sent to a parent to alert the parent that a child has left a school yard. The triggering event for sending an email to a parent in Hawkins is that a child left a school yard, not a proposed e-transaction. The content of the email message could not be more different and the events triggering the email messages could not be more different between Hawkins and Appellant's claimed invention.

Therefore, because the cited prior art references fail to teach or suggest sending an email to a parent that describes the e-transaction proposal and solicits the parent to authorize an e-transaction that comprises at least a part of the e-transaction proposal, Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented. Therefore, Appellant respectfully requests the Board to find that claims 6-9 and 21-24 presented on appeal are patentable.

(3) The cited prior art fails to teach or suggest all the claim limitations of claim 7. Applicant respectfully asserts that a *prima facie* case of obviousness has not been presented because none of the three cited references teaches nor suggests that the parent's e-mail address is provided by the minor along with the proposed e-transaction.

The Examiner admits that neither Lotvin nor Blonder teach or suggest the limitations of claim 7 and therefore, the Examiner cites Hawkins for those limitations. (Final Office Action, p. 4). However, Hawkins does not teach that the minor provide the e-mail address along with the proposed e-transaction. Indeed, Hawkins only discloses that the email address is provided by the

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authorized user. None of the cited prior art references teach or suggest that the email address is provided by the minor, a limitation claimed by Appellant.

Therefore, because the cited prior art references fail to teach or suggest that the parent's e-mail address is provided by the minor along with the proposed e-transaction, Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented. Therefore, Appellant respectfully requests the Board to find that claim 7 presented on appeal is patentable.

(4) No evidence has been provided for a teaching, motivation or suggestion to select and combine the cited references. Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented because there has been no evidence provided relevant to the finding of whether there is a teaching, motivation or suggestion to select and combine the references. The Examiner has stated that it would be obvious to modify the Blonder and hence Lotvin to use email instead of paging because email is more expeditious.

Appellant has already provided an analysis of the lack of evidence for combining Lotvin and Blonder. Continuing now with Hawkins and first, addressing the first *Rouffet* prong, there is no evidence that the nature of the problem sought to be solved provides any evidence of a motivation to combine these references. Hawkins addresses the problem of tracking people and shipments of goods and does not address at all the concerns of (1) increasing the educational and cultural level of children (Lotvin), (2) decreasing the level of credit card fraud by providing a method of automatically obtaining authorization for a credit card transaction (Blonder) or (3) how to allow minors to fully but safely participate in e-commerce transactions, which is the problem sought to be solved by Applicant.

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Addressing the second *Rouffet* prong, there is no suggestion from the cited prior art that the references should be combined. None of the prior art references address the subject of minors using the internet to buy goods and services.

The third *Rouffet* prong provides that the motivation to combine references may come from the ordinary knowledge of those skilled in the art that certain references are of special importance in a particular field. Certainly there has been no evidence provided showing that the cited prior art references are of special importance in a particular field.

Therefore, because there has been no evidence presented showing the motivation to combine the cited references, Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented. Appellant therefore requests that the Board find claims 6-9 and 21-24 presented on appeal to be patentable.

(5) Non-analogous art cannot be used to establish obviousness. Appellant respectfully asserts that Hawkins is non-analogous art and therefore may not be combined with other prior art to establish obviousness. 35 U.S.C. § 103 requires that obviousness be determined on the basis of whether at the time the invention was made, a person of ordinary skill in the art to which the subject matter pertains would have found the claimed invention as a whole obvious. In the case *In re Wood*, 599 F.2d 1032 (CCPA 1979), the Court stated:

The determination that a reference is from a nonanalogous art is therefore twofold. First, we decide if the reference is within the field of the inventor's endeavor. If it is not, we proceed to determine whether the reference is reasonably pertinent to the particular problem with which the inventor was involved.

Considering the first prong of *Wood*, Appellant respectfully asserts that Hawkins is not even marginally within the field of the inventor's endeavor. Appellant's field of endeavor is the

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furtherance of the use of e-commerce by minors. Hawkins field of endeavor is, as stated therein, tracking the geographic position of assets. (Hawkins, col. 1, lines 14-15).

Considering, then, the second prong of *Wood*, Appellant respectfully asserts that Hawkins is not reasonably pertinent to the particular problem with which the inventor was involved. As discussed, *supra*, Hawkins addresses the problem of tracking people and shipments of goods and does not address at all the concerns of how to allow minors to fully but safely participate in e-commerce transactions, which is the problem sought to be solved by Applicant.

Therefore, because Hawkins is nonanalogous art and cannot be used to support an obviousness rejection, Appellant respectfully requests that the Board finds that claims 6-9 and 21-24 presented on appeal are patentable.

c. Claims 1, 10-12, 14, 25 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, et al. in view of U.S. Patent No. 5,708,422 issued to Blonder, et al and further in view of U.S. Patent No. 6,742,141 issued to Miller.

(1) Review of the cited prior art. Miller provides a solution to the problem of repeated computer system and software failure or instability. (Miller, Abstract). The solution disclosed by Miller is a database that contains entries with executable code that can make use of these services in order to monitor, disclose and solve specific problems. *Id.* More specifically, in FIG. 12C, Miller discloses a user interface of the customer screen where the customer can use a checkbox to enable the reporting of minor problems with the software and can use another check box to enable the reporting of all problems. (Miller, col. 15, lines 15-21).

(2) The cited prior art fails to teach or suggest all the claim limitations of claims 11-12 and 25. Applicant respectfully asserts that a *prima facie* case of obviousness has not been

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presented because none of the three cited references teaches nor suggests providing a list of each item sought by the minor in the e-transaction proposal and allowing the parent to selectively reject one or more items on the list, wherein the e-transaction instructions of the reply message comprise the selective rejections.

The Examiner cites Miller for disclosing a clickable option menu that allows a user to select options. Miller allows a customer to use a checkbox to enable the reporting of minor problems with the software and can use another check box to enable the reporting of all problems. However, that is not what Appellant claims. Appellant claims:

- a. providing a list of each item sought by the minor in the e-transaction proposal;
- b. allowing the parent to selectively reject one or more items on the list; and
- c. wherein the e-transaction instructions of the reply message comprise the selective rejections.

No reference has been cited that suggests or claims these three claimed limitations. Therefore, because the cited prior art references fail to teach or suggest these three claimed limitations, Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented. Therefore, Appellant respectfully requests the Board to find that claims 11-12 and 25 presented on appeal are patentable.

d. Claims 1, 3 and 18 stand rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,178,407 issued to Lotvin, et al. in view of U.S. Patent No. 5,708,422 issued to Blonder, et al and further in view of U.S. Patent No. 6,052,675 issued to Checchio.

(1) Review of the cited prior art. Checchio provides a method and apparatus for pre-authorizing transactions for a credit card. (Checchio, Abstract). Linked with a credit card number in a database is a Personal Identification Code (PIC). *Id.* Whenever a consumer wishes

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to use the credit card, the consumer must provide both the credit card number and the PIC or the authorization for use of the credit card will not be granted by the credit card company. (Checchio, col. 4, lines 40-51). The owner of the credit card may be issued several PIC's, each having its own spending limit so that children may be given the credit card but are limited by the amount they can charge because of the PIC given to each of the children. (Checchio, col. 6, lines 41-62).

(2) The cited prior art fails to teach or suggest all the claim limitations of claims 3 and 18. Applicant respectfully asserts that a *prima facie* case of obviousness has not been presented because none of the three cited references teaches nor suggests that the reply message from the parent comprises a credit card number for electronically funding the e-transaction.

Checchio does not disclose providing an e-transaction instruction in a responding message to charge goods or services to a particular credit card that is supplied in the message. Checchio merely discloses that a PIC number may be associated with a given credit card so that when the credit card is used, the PIC must be used with the credit card for authorization, much like the common use of a debit card. The credit card number must be supplied with the PIC. In other words, very similar to the common use of a debit card, when a customer presents the debit card for use, the customer must enter a Personal Identification Number (PIN) before the transaction can be authorized by the debit card issuing bank. This is not what Applicant claims.

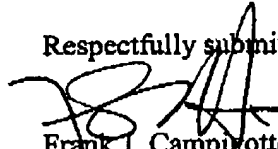
Therefore, because the cited prior art references fail to teach or suggest that the reply message from the parent comprises a credit card number for electronically funding the e-transaction, Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented. Therefore, Appellant respectfully requests the Board to find that claims 3 and 18 presented on appeal are patentable.



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WHEREFORE, Appellant respectfully asserts that a *prima facie* case of obviousness has not been presented for the claims presented on appeal and therefore respectfully request that this Board find that the claims presented on appeal are patentable.

Respectfully submitted,



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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
BEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES**

IN RE APPLICATION OF:  
Rabindranath Dutta, *et al.*

**SERIAL NO: 09/963,715**

CONFIRMATION NO.: 9288

**FILED: September 26, 2001**

**FOR: Method and System for Parent  
Controlled E-Commerce**

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**EXAMINER: Joseph A. Fischetti**

GROUP ART UNIT: 3627

## APPENDIX IN SUPPORT OF APPELLANT'S APPEAL BRIEF

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(8) CLAIMS APPENDIX

What is claimed is:

1. (previously presented) A method for a server to obtain parent authorization of minor-proposed e-transactions comprising:

electronically receiving an e-transaction proposal from the minor;  
automatically creating and electronically transmitting a first message to the parent, the message describing the e-transaction proposal and soliciting the parent to authorize an e-transaction that comprises at least a part of the e-transaction proposal;  
electronically receiving a reply message from the parent authorizing the e-transaction and providing e-transaction instructions; and  
automatically executing the e-transaction instructions.

2. (previously presented) The method of claim 1, further comprising:  
creating and sending an electronically transmittable third message notifying the minor of the parent's response to the proposed e-transaction.

3. (previously presented) The method of claim 1, wherein the e-transaction instructions comprise a credit card number for electronically funding the e-transaction.

4. (previously presented) The method of claim 1, wherein the step of electronically receiving a reply message from the parent authorizing the e-transaction comprises:  
receiving a server-verifiable transaction authorization code.

5. (previously presented) The method of claim 5, wherein the authorization code is a transaction specific code.

6. (original) The method of claim 1, wherein the first message is an e-mail addressed to the parent's e-mail address.

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7. (original) The method of claim 1, wherein the parent's e-mail address is provided by the minor along with the proposed e-transaction.
8. (original) The method of claim 1, wherein the parent's e-mail address is available from an accessible database.
9. (original) The method of claim 8, wherein the parent's e-mail address is provided by the parent prior to the server's receipt of the minor's proposed e-transaction.
10. (previously presented) The method of claim 1, wherein the first message to the parent provides options for the parent to approve the e-transaction proposal and to reject the e-transaction proposal.
11. (previously presented) The method of claim 1, further comprising:
  - providing in the first message a list of each item sought by the minor in the e-transaction proposal; and
  - allowing the parent to selectively reject one or more of the items on the list, wherein the e-transaction instructions of the reply message comprise the selective rejection.
12. (original) The method of claim 1, wherein the first message comprises clickable options for providing the parent's reasons for rejecting items from the proposed e-transaction.
13. (previously presented) The methods of claim 1, wherein the e-transaction proposal involves the purchase of goods, and wherein the first e- message comprises information related to content of the goods involved in the e-transaction proposal.
14. (original) The method of claim 1, wherein the first messages provide clickable hyperlinks enabling the parent to access reviews by others of the goods sought in the e-transaction proposal.

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15. (withdrawn) A method for a server to provide a parent with control over an e-transaction proposed by a minor comprising:

electronically receiving a proposed e-transaction from a minor;

receiving an e-mail address of the minor's parent;

creating an electronically transmittable message addressed to the parent's e-mail address;

electronically providing the parent with a description of the proposed e-transaction;

electronically receiving a reply message from the parent comprising the parent's instructions regarding the proposed e-transaction;

disposing of the proposed e-transaction in accordance with the parent's instructions; and

electronically notifying the minor of the parent's instructions regarding the proposed e-transaction proposed by the minor.

16. (previously presented) A computer program product including instructions embodied on a computer readable medium, the instructions comprising:

instructions for receiving an e-transaction proposal from a minor;

instructions for automatically creating and electronically transmitting a first message to a parent, the message describing the e-transaction proposal and soliciting the parent to authorize an e-transaction that comprises at least a part of the proposed e-transaction;

instructions for receiving a reply message from the parent authorizing the e-transaction and providing e-transaction instructions; and

instructions for executing the e-transaction instructions.

17. (original) The computer program product of claim 16, further comprising:

instructions for creating and sending an electronically transmittable third message notifying the minor of the parent's response to the proposed e-transaction.

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18. (previously presented) The computer program product of claim 16, wherein the e-transaction instructions comprise a credit card number for electronically funding the e-transaction.

19. (previously presented) The computer program product of claim 16, wherein the instructions for receiving a reply message from the parent comprises:  
receiving a server-verifiable transaction authorization code.

20. (previously presented) The computer program product of claim 19, wherein the authorization code is a transaction specific code.

21. (original) The computer program product of claim 16, wherein the first message is an e-mail message addressed to the parent's e-mail address.

22. (original) The computer program product of claim 21, wherein the parent's e-mail address is provided by the minor along with the proposed e-transaction.

23. (original) The computer program product of claim 21, wherein the parent's e-mail address is available from an accessible database.

24. (original) The computer program product of claim 23, wherein the parent's e-mail address is provided by the parent prior to the server's receipt of the minor's proposed e-transaction.

25. (previously presented) The computer program product of claim 21, further comprising:

instructions for providing in the first message a list of each item sought by the minor in the e-transaction proposal; and

instructions for allowing the parent to selectively reject one or more of the items of the e-transaction proposal, wherein the e-transaction instructions of the reply message comprise the selective rejection.

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26. (withdrawn) A computer system for obtaining parent authorization of minor-proposed e-transactions comprising:

first receiving means for electronically receiving an e-transaction proposal from the minor;

messaging means for automatically creating and electronically transmitting a first message to the parent, wherein the message describes the e-transaction proposal and solicits the parent to enter a transaction authorization code to enable consummation of the proposed e-transaction;

second receiving means for electronically receiving a reply message from the parent providing a transaction authorization code and e-transaction instructions; and

executing instructions for automatically executing the e-transaction instructions.

27. (withdrawn) The computer system of claim 26, further comprising:

notification means for creating and sending an electronically transmittable third message notifying the minor of the parent's response to the proposed e-transaction.

28. (withdrawn) The computer system of claim 26, wherein the reply message comprises a credit card number for electronically funding the minor's proposed e-transaction.

29. (withdrawn) The computer system of claim 26, wherein the reply message comprises a server-verifiable transaction authorization code.

30. (withdrawn) The computer system of claim 26, wherein the reply message comprises a transaction specific code.

31. (withdrawn) The computer system of claim 26, wherein the first message is an e-mail message addressed to the parent's e-mail address.

32. (withdrawn) The computer system of claim 26, further comprising:

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submission means for allowing the minor to submit the parent's e-mail address along with the proposed e-transaction.

33. (withdrawn) The computer system of claim 26, wherein the parent's e-mail address is available from an accessible database.

34. (withdrawn) The computer system of claim 33, further comprising:

submission means for allowing the parent to submit the parent's e-mail address prior to receiving the minor's proposed e-transaction.

35. (withdrawn) The computer system of claim 26, further comprising:

approval means for allowing the parent to approve or reject the proposed e-transaction through clickable options provided in the first message.

36. (withdrawn) The computer system of claim 26, further comprising:

approval means for allowing the parent to approve or reject individual items of the proposed e-transaction through clickable options provided in the first message.

37. (withdrawn) The computer system of claim 26, wherein the proposed e-transaction involves the purchase of goods, and wherein the first e-mail message comprises information related to content of the goods involved in the proposed e-transaction.

38. (withdrawn) The computer system of claim 26, further comprising:

research means for allowing the parent to research reviews of the good sought in the e-transaction proposal through clickable hyperlinks provided in the first message.



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**(9) EVIDENCE APPENDIX**

NONE

**(10) RELATED PROCEEDINGS APPENDIX**

NONE